



**Johnson Space Center  
Procedural  
Requirements**

JPR No.: 1281.1  
Effective Date: July 27, 2007  
Expiration Date: July 27, 2012  
(Formerly SLP 4.1)

**VERIFY THAT THIS IS THE CORRECT VERSION BEFORE USE**

**COMPLIANCE IS MANDATORY**

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**Management Responsibility**

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**Responsible Office: Management Integration Office**

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### Change History Log

Revision	Effective Date	Description of Changes
Baseline	May 2007	Change ISO 9000 Office to Management Integration Office; Delete DLO Project reporting requirement; and reformat SLP as JPR.

## **PREFACE**

### **P.1 PURPOSE**

This Directive establishes responsibilities for the implementation, operation, management review, and reporting of the Quality Management System (QMS) and the Environmental Management System (EMS). Directorate-level Organizations (DLO) are responsible for implementation and operation while the Center is responsible for obtaining and maintaining certifications. This JPR also establishes requirements for conducting management reviews, including the collection, analysis, and reporting of directorate information as source data for characterizing and reporting Center-wide performance and effectiveness of the QMS and the EMS.

### **P.2 APPLICABILITY**

This JPR is applicable to all JSC NASA organizations, including Ellington Field and the Sonny Carter Training Facility, except for the following:

- a) White Sands Test Facility
- b) Office of the Inspector General
- c) NASA Engineering Safety Center

### **P.3 AUTHORITY**

JPD 1280.1, JSC Quality Policy  
JPR 1280.2, Quality Manual

### **P.4 APPLICABLE DOCUMENTS**

JPR 8553.1, JSC Environmental Management System (EMS) Manual  
JPR 1281.9, Process Control  
JPR 1281.17, JSC Audits  
JPR 1440.3, JSC Files and Records Management Procedures

### **P.5 MEASUREMENT/VERIFICATION**

- a) Processes and procedures shall be measured and monitored as prescribed by JPR 1281.9.
- b) Audits, as prescribed in JPR 1281.17, shall be used to verify conformance with requirements.
- c) Results shall be reviewed by Directorates and the Center as prescribed by Section 1.1.4 of this document.

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## **P.6 CANCELLATION/RECISSION**

JSC SLP 4.1, Management Responsibility is cancelled.

H. Lawrence Dyer  
Manager, JSC Management Integration Office

Distribution:  
JDMS

## **1 RESPONSIBILITIES**

### **1.1 Manager, JSC Management Integration Office**

#### **1.1.1 General**

The Manager of the JSC Management Integration Office shall:

- a) Ensure that management system content is adequate, resources are assigned, requirements are met, and desired certifications are maintained;
- b) Ensure that processes needed for the management system are established, implemented and maintained;
- c) Assist DLO, Source Boards, and Acquisition Strategy Boards with the establishment and implementation of QMS requirements for inclusion in contracts and agreements, and with training;
- d) Designate an Audit Manager with authority to perform internal audits of the management system and to coordinate audits performed by other internal and external parties;
- e) Designate a Corrective Action Manager with authority to operate the Corrective Action System and report the status of corrective and preventive actions;
- f) Perform data analysis on the information provided from DLO reviews to develop, maintain, and report the Center-wide performance and effectiveness of the QMS;
- g) Assist the Environmental Office in conducting a semi-annual review of the Environmental Management System (EMS); and
- h) Participate in Agency-wide forums to communicate and act on common issues, improvements, best practices, and lessons learned to enable NASA to meet its mission and management system requirements.

#### **1.1.2 Coordinate the JSC Management Council**

The Manager, Management Integration Office shall coordinate the JSC Management Council (JMC) and retain records. The JMC, chaired by the Center Director and comprised of senior staff, was established to improve management effectiveness by integrating similar review functions and combining existing meetings. It replaced the Quality System Management (QMS) Review previously performed for the QMS only and performs the Center-level management reviews necessary to maintaining QMS and Environmental Management System (EMS) certifications.

#### **1.1.3 Chair the Quality System Panel**

The Manager, Management Integration Office shall chair the Quality Systems Panel (QSP) and retain records. The QSP manages QMS (defined in JPR 1280.2) and EMS (defined in JPR 8553.1) operation and improvement, and maintains its certifications. Members are the deputy directors or persons delegated authority to represent a directorate. Decisions are made by consensus. Unresolved issues are forwarded to the JMC for resolution. The QSP performs the following functions:

- a) Operates, maintains and improves the JSC Management System.
- b) Reviews and recommends management system initiatives having Center-wide impact or applicability including additional certifications;
- c) Develops corrective action plans for Center-wide issues;

- d) Resolves issues among directorates;
- e) Coordinates audit and management review results; and
- f) Serves as a pre-Board for the JMC, including the collection of data, development of metrics, analysis of data and issues for presentation at the JMC.

#### **1.1.4 Coordinate and Chair the QMS Review**

- a) The Manager, Management Integration Office shall coordinate and conduct the semi-annual review of the QMS with the JMC and retain records.
- b) The JMC shall perform a semi-annual review of Center-wide QMS performance and effectiveness.
- c) Input to a QMS review shall include, as a minimum: information on results of audits, customer feedback, process performance and product conformance, status of preventive and corrective actions, follow-up actions from previous management reviews, changes that could affect the management system, and recommendations for improvement.
- d) Output shall include any decisions and actions related to improvement of the effectiveness of the QMS and its processes, improvement of product related to customer requirements, and resource needs.

## **1.2 Manager, Environmental Office**

The Director of Center Operations shall appoint a member of the Environmental Office (EO) to be the JSC EMS Management Representative. The JSC Environmental Office is the Office of Primary Responsibility for JSC environmental management and compliance, and is the primary point of contact for all communication with external environmental regulatory agencies.

### **1.2.1 General**

The EMS Management Representative shall:

- a) Document EMS roles, responsibilities, and authorities to facilitate effective implementation of the EMS;
- b) Identify resources necessary for effective implementation and maintenance of the EMS;
- c) Assist DLO, Source Boards, and Acquisition Strategy Boards with the establishment and implementation of EMS requirements for inclusion in contracts and agreements, and with training;
- d) Identify the need for EMS training and providing the required training;
- e) Monitor key characteristics of the EMS;
- f) Ensure that semi-annual internal EMS audits are conducted;
- g) Prepare and submit EMS Self-Declaration notices;

- h) Assemble evidence and prepare reports to provide during management review on the status and viability of the EMS; and
- i) Communicate with Center personnel and management on matters related to the implementation and maintenance of the EMS.

### **1.2.2 Coordinate and Chair the EMS Review**

- a) The EMS Management Representative shall coordinate and conduct the semi-annual review of the QMS with the JMC and retain records to ensure that it continues to be suitable and effective.
- b) Input to an EMS review shall include information on results of audits, follow-up of any previous management review actions, status of corrective and preventive actions, performance of the EMS, the extent to which objectives and targets have been met, performance related to any metrics, communication from external interested parties, continuing suitability of the system in relation to changing conditions and information, and recommendations for improvement.
- c) Output shall address any decisions or actions related to changes to the EMS and its processes to improve effectiveness or suitability, the JSC environmental policy, or the EMS objectives and targets.
- d) Output during years when no NASA Headquarters Functional Assessment occurs shall also include execution of the annual Self-Declaration notice for submission to Headquarters.

## **1.3 Director, Directorate-Level Organization**

### **1.3.1 General**

- a) Directors of Directorates shall conduct reviews of QMS and EMS performance and effectiveness within their organization.
- b) Data analyzed and review results obtained shall be provided to the Management Integration Office and the Environmental Office, respectively, as input for the overall system reviews conducted at the Center-level. To facilitate reporting, a Scorecard—along with rules for scoring—has been defined to capture results. This flow of information is shown as Section 2.

### **1.3.2 Implement the QMS**

A Director of a Directorate shall:

- a) Assure the quality of work by knowing how the QMS applies to work performed and ensuring that personnel have access to documentation, complete required training (including annual refresher training for Supervisors), and are aware of relevant procedures;
- b) Establish quality objectives or planned results that are related to the product and implement the realization, monitoring, measurement, analysis, and improvement processes needed to demonstrate product and service quality;
- c) Ensure that requirements for quality management are included in contracts and agreements, that Surveillance Plans are prepared and implemented, that qualified Contracting Officer's Technical



Representatives (COTR) are assigned and attend required COTR training, and that the results of contractor surveillance are reviewed and action appropriate to the results of the review is taken; and

- d) Improve operational effectiveness through the use of measurements, audit, analysis of data, corrective and preventive actions, and management review.
- e) Obtain process and product information from individual product and process owners and review at Directorate level to determine whether or not planned results are being obtained.

### **1.3.3 Review the QMS**

1.3.3.1 A Director of a Directorate shall conduct a QMS review, at least semi-annually, using data obtained from project reviews, monitoring and measurements, surveillance, and data analysis, to demonstrate QMS performance and effectiveness within the DLO, and to identify opportunity for improvement.

1.3.3.2 The director or deputy director shall chair the review, and retain records, which include the following:

- a) Minimum input to a DLO QMS review shall include information on the results of audits, customer feedback, status of document reviews, process performance and product conformance, status of preventive and corrective actions, follow-up actions from previous management reviews, changes that could affect the QMS, and recommendations for improvement;
- b) Output from the review shall include the Scorecard for Reporting the Results of DLO QMS Review, Appendix A, completed in accordance with the rules provided, any decisions and actions related to improvement of the effectiveness of the QMS and its processes, improvement of product related to customer requirements, and resource needs; and
- c) Completed Scorecards are retained as records and provided to the Management Integration Office as source data for reporting QMS performance and effectiveness to the JMC.

### **1.3.4 Implement the EMS**

A Director of a Directorate shall:

- a) Ensure adherence with EMS and environmental compliance requirements in order to protect the environment and minimize environmental impacts associated with work performed;
- b) Stop any activity that is unsafe, endangers the environment, or that yields unsuitable products;
- c) Ensure that requirements for environmental management are included in contracts and agreements commensurate with risk associated with the activity and consistent with Center-wide and statutory and regulatory requirements, that Surveillance Plans are prepared and implemented, that qualified COTR are assigned and attend required COTR training, and that the results of contractor surveillance are reviewed and action appropriate to the results of the review is taken; and
- d) Designate an EMS Liaison and others as needed to implement and maintain the EMS within the organization;

- e) Ensure that all activities, products, and services are evaluated and required operational controls and controlling processes are implemented and documented; and
- f) Improve effectiveness through the use of audit, analysis of data, corrective and preventive actions, and management review.

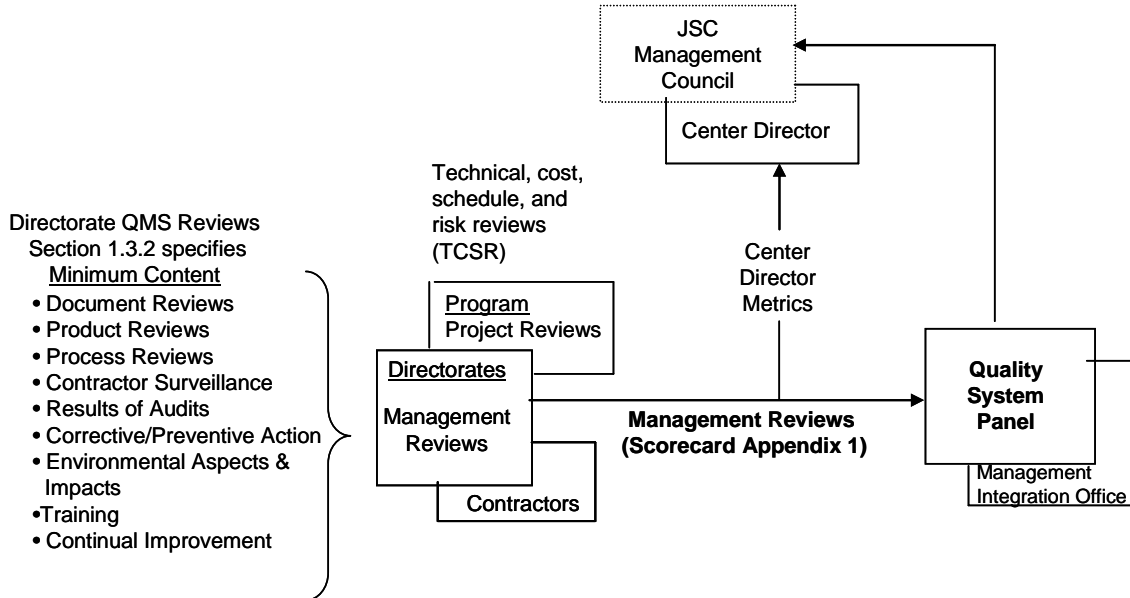
### **1.3.5 Review the EMS**

1.3.5.1 A Director of a Directorate shall conduct an organizational EMS review and retain records, at least semi-annually, to evaluate and demonstrate the performance and effectiveness of integration of EMS requirements into DLO and on-site support contractor activities, products and services that have an actual or potential environmental impact. EMS reviews may be conducted and documented in conjunction with QMS reviews as long as all required elements are evaluated and reviewed and the results of the EMS review can be identified in the records.

1.3.5.2 The director or deputy director shall chair the review, which include the following:

- a) Input to the DLO EMS review shall include information on the results of internal or external EMS or environmental compliance audits or inspections, status of any environmental non-conformances, preventive action, and corrective actions, follow-up from any previous management reviews; changes that affect the EMS at the DLO level, effectiveness of EMS operational controls; status of employee currency of environmental training, status of EMS aspect review and related database updates, any actions taken to assist in achievement of JSC EMS objectives and targets, and the identification of any opportunities for improvement of environmental performance and compliance;
- b) Output from the DLO EMS review shall include any decisions and actions related to improvement of the effectiveness of the EMS and its processes and resource needs;
- c) Prepare and retain records; and
- d) Input data and output results shall be provided to the Environmental Office for use in performing data analysis and for reporting overall EMS performance and effectiveness to the JMC.

## 2 INFORMATION FLOW DIAGRAM



## 3 RECORDS AND FORMS

The following records shall be established and maintained in accordance with JPR 1440.3:

### Records:

- Minutes, attendance, and data packages for QMS reviews; Manager, MIO maintains the records.
- Minutes, attendance, and data packages for EMS reviews; JSC EMS Management Representative maintains the records.
- Minutes and completed Scorecards for DLO QMS reviews; Director, DLO maintains the records.
- Minutes, attendance, and data packages for DLO EMS reviews; Director, DLO maintains the records.
- Minutes, attendance, and data packages for QSP meetings; Manager, MIO maintains the records.

### Forms:

- Scorecard for Reporting the Results of DLO QMS Management Reviews (Appendix 1)

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## APPENDIX 1 - SCORECARD FOR REPORTING THE RESULTS OF DLO QMS REVIEWS

DLO	Performance					
	Results of Audits	Customer Feedback	DDT&E Product Conformance	Realization Process Performance	CA/PA Status	Action Taken
Customer or product 1						
Customer or product 2						
⋮						
Customer or product n						

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Parameter	Metric	Quality Objectives		
		Red	Yellow	Green
Results of Audits	Review audit findings to determine if similar problems exist within the DLO and take appropriate action	Review not performed	Review not performed or appropriate action not taken	Review performed and action taken
Customer Feedback	# R-Y-G expressed as % of total number reported by all customers	80% or less Green	1st occurrence of negative trend - or 81% - 90% Green	More than 90% Green
Product Conformance (DDT&E)	DLO characterization of the results of reviewing DDT&E product non-conformances with customer requirements	Significant product (or service) problem posing a risk to meeting established milestones	Repeat product (or service) problem	Minor product (or service) problem (no threat to established milestone)
Process Performance (DDT&E)	DLO characterization of the results of reviewing DDT&E controlling processes	Significant process problem posing a risk to meeting established milestones	Repeat process problem	Minor process problem (no threat to established milestone)
Preventive/ Corrective Action Status	Deviation from Plan for meeting 'CA Submitted' or 'Closed - Verified' Milestones for all open CA/PA	More than 10% of all actions > 30 days outside Plan	1st occurrence of negative trend - or >0% but < 10% of all actions > 30 days outside Plan	0% of all actions outside Plan
Action Taken	DLO action taken to deal with an identified product or process problem	No action taken for identified problems	Action taken, but not following established procedure or tracking system	Action taken following procedure and using tracking system

## APPENDIX 2, CHANGE HISTORY LOG, SLP

Revision	Effective Date	Description of Changes
Basic	12/08/00	Combine SLP 4.1-1 and 4.1-2. Clarify Quality System scope. Clarify roles and responsibilities. Include Quality System Panel responsibilities. Define directorate-level review responsibilities (from SLP 4.14)  Define QSP and QSMR roles relative to the JSC environmental management system.
A	June 2002	Implement reorganization under the Chief Engineer Change QSMR frequency to bi-annual; Recognize either Center director or deputy Center director as authority for QSMR Remove reference to Environmental Quality System Clarify wording for review and approval of initiatives; Change quality records to records
B	December 2003	Add requirement for reviews to include process performance and product/service conformity; and update QSMR participants list
C	September 2004	Re-write to remove advisory language Add EMS requirements
D	March 2006	Add AS 9100 to the scope of the QMS; Replace QSMR with JSC Management Council; Establish requirements for incorporation of EMS and QMS requirements in contracts and agreements; and add requirements for the content of DLO and system management reviews.